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## Certificate of Transmission under 37 CFR 1.8

Attorney Docket No. ISAA0025

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office

From: GLENN PATENT GROUP

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on 2/24/2005

Date



Signature

Della Revecho

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

1. Request for Reconsideration of Petition (2 pages);
2. Executed Declaration from Brendan Del Favero (5 pages);
3. Executed Declaration from Robert Mun-Cheong Fung (3 pages);
4. Executed Declaration from Jun Hua (5 pages); and
5. Executed Statement from Jun Hua (1 page)

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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FEB 24 2005

**Certificate of Transmission Under 37 C.F.R. §1.8**

**Certificate of Transmission Under 37 C.F.R. §1.8** **Date of Transmission 2/24/2005**  
I hereby certify that this document and the documents referred to herein as attached are being transmitted via facsimile to the United States Patent and Trademark Office, Mail Stop: Office of PETITIONS facsimile number (703) 872-9306 on the above indicated date of transmission.

  
Della C. Revecho

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re application of:** Caplan, et al.

**Docket No.:** ISAA0025

**Serial No:** 10/697,907

**Art Unit:** 2123

**Filed:** October 29, 2003

**Examiner:** Unknown

**Title:** Method and Apparatus for Creating and Evaluating Strategies

February 24, 2005

MAIL STOP PETITIONS  
Commissioner for Patents  
PO Box 1450  
Alexandria VA 22313-1450

**REQUEST FOR RECONSIDERATION OF PETITION UNDER 37 CFR 1.47(a)**

Sir:

This Request is provided in response to the Dismissal, mailed December 30, 2004 of a petition under 37 CFR § 1.47(a) in the above-identified patent application.

The Petitions Attorney dismissed the Petitions due to a) missing signatures of inventors Brendan Del Favero and Robert Mun-Cheong Fung and b) alterations of the application papers without inventor initialing and dating the changes.

Respectively, the applicant is therefore submitting the following:

1. Newly executed Declaration from fifth named inventor Brendan Del Favero

Attorney Docket No. ISAA0025

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name;

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**Method and Apparatus for Creating and Evaluating Strategies**

the specification of which (check one) ☐ is attached hereto, or ☒ was filed on 10/29/2003 as Application Serial No. 10/697,907 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

=====

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed  
Yes No

Number Country Day/Month/Year Filed

Number Country Day/Month/Year Filed

=====

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

MICHAEL A. GLENN, Reg. No. 30,176  
DONALD M. HENDRICKS, Reg. No. 40,355  
CHRISTOPHER PEIL, Reg. No. 45,005  
IVY Y. MEI, Reg. No. 46,925  
JULIA THOMAS, Reg. No. 52,283  
FLORIN CORIE, Reg. No. 46,244

SEND CORRESPONDENCE TO:

GLENN PATENT GROUP, 3475 Edison Way, Suite L, Menlo Park, CA 94025  
=====

FEB 24 2005

Attorney Docket No. ISAA0025

I hereby claim the benefit under Title 35, United States code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: SCOTT MALCOLM CAPLAN

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 6735 Ulster Court, Alpharetta, GA 30005Post Office Address SameCitizenship United States of AmericaFull name of second joint inventor: YEN FOOK CHANG

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 72 Huntleigh Rd., Piedmont, Ca 94611Post Office Address SameCitizenship United States of AmericaFull name of third joint inventor: MICHAEL RAYMOND COHEN

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 242 Lakeshore Court, Richmond, CA 94804Post Office Address SameCitizenship United States of America

Attorney Docket No. ISAA0025

Full name of fourth joint inventor: STUART CRAWFORD

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 141 St. James Drive, Piedmont CA 94611Post Office Address SameCitizenship United States of AmericaFull name of fifth joint inventor: BRENDAN DEL FAVEROInventor's signature Brendan Del Favero 12/01/2004  
DateResidence 1414 Farragut Circle, Davis, CA 95616Post Office Address SameCitizenship United States of AmericaFull name of sixth joint inventor: DR. GERALD FAHNER

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 819 Diablo Ave. #28, Novato, CA 94947Post Office Address SameCitizenship GermanyFull name of seventh joint inventor: ROBERT MUN-CHEONG FUNG

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 2817 Almeria Street, Davis, CA 95616Post Office Address SameCitizenship United States of America

Attorney Docket No. ISAA0025

Full name of eighth joint inventor: ARTHUR BRUCE HOADLEY

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 2921 Regent Street, Berkeley, CA 94705

Post Office Address Same

Citizenship United States of America

Full name of ninth joint inventor: JUN HUA

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 30 Via Holon Street, #11, Greenbrae, CA 94904

Post Office Address Same

Citizenship United States of America

Full name of tenth joint inventor: CHISOO S. LYONS

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 329 Forbes Avenue, San Rafael, CA 94901

Post Office Address Same

Citizenship United States of America

Full name of eleventh joint inventor: JOHN PERLIS

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 419 D Street, Petaluma, CA 94952

Post Office Address Same

Citizenship United States of America

Attorney Docket No. ISAA0025

Full name of twelfth joint inventor: NINA SHIKALOFF

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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**Method and Apparatus for Creating and Evaluating Strategies**

the specification of which (check one) ☐ is attached hereto, or ☒ was filed on 10/29/2003 as Application Serial No. 10/697,907 and was amended on \_\_\_\_\_ (if applicable).

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Application Ser. No.

Filing Date

Status: Patented, Pending, Abandoned

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Inventor's signature \_\_\_\_\_

Date \_\_\_\_\_

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Date \_\_\_\_\_

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Date \_\_\_\_\_

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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 1414 Farragut Circle, Davis, CA 95618Post Office Address SameCitizenship United States of AmericaFull name of sixth joint inventor: DR. GERALD FAHNER

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 819 Diablo Ave. #28, Novato, CA 94947Post Office Address SameCitizenship GermanyFull name of seventh joint inventor: ROBERT MUN-CHEONG FUNGInventor's signature  2/10/2005  
DateResidence 2817 Almeria Street, Davis, CA 95616Post Office Address SameCitizenship United States of America

Attorney Docket No. ISAA0025

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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 2817 Almeria Street, Davis, CA 95616Post Office Address SameCitizenship United States of America

Attorney Docket No. ISAA0025

Full name of eighth joint inventor: ARTHUR BRUCE HOADLEY

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 2921 Regent Street, Berkeley, CA 94705Post Office Address SameCitizenship United States of AmericaFull name of ninth joint inventor: JUN HUAInventor's signature *Jun Hua* 2/12/05  
DateResidence 2660 Marshfield Road, Vallejo, CA 94591Post Office Address SameCitizenship United States of AmericaFull name of tenth joint inventor: CHISOO S. LYONS

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 329 Forbes Avenue, San Rafael, CA 94901Post Office Address SameCitizenship United States of AmericaFull name of eleventh joint inventor: JOHN PERLIS

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 419 D Street, Petaluma, CA 94952Post Office Address SameCitizenship United States of America

Attorney Docket No. ISAA0025

Full name of twelfth joint inventor: NINA SHIKALOFF

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Residence 2298 Pheasant Drive, Hercules, CA 94547Post Office Address SameCitizenship United States of AmericaFull name of fifteenth joint inventor: ERIC C. WELLS

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 1514 Virginia Street, Berkeley, CA 94703Post Office Address SameCitizenship United States of America

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: Caplan, et al. Examiner: Unassigned

5 Serial No. 10/697,907

Art Unit: 2123

Filed: October 29, 2003

Attorney Docket: ISAA0025

10 Title: Method and Apparatus for Creating and Evaluation Strategies

28 February 2005

15 Commissioner for Patents

Mail Stop Petitions

P. O. Box 1450

Alexandria, VA 22313-1450

20

**STATEMENT OF JUN HUA**

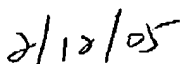
I, Jun Hua, state the following:

- 25 1. That I am a citizen of United States of America;  
2. That I am a co-inventor in the above-named application; and  
3. That my address has changed to:  
2660 Marshfield Road  
Vallejo, CA 94591

30

  
\_\_\_\_\_  
Jun Hua

35

  
\_\_\_\_\_  
Date